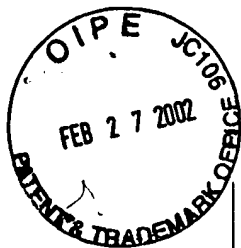


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600 Technology Park Drive  
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Billerica, MA 01821  
Tel 978.288.6304  
Fax 978.288.6543  
lmcguinn@nortelnetworks.com

www.nortelnetworks.com

Lindsay G. McGuinness  
Senior Counsel

February 14, 2002

Assistant Commissioner  
for Patents  
Washington, D.C. 20231-9999

Re: U. S. Utility Patent Application Serial No. 09/930,375  
Docket No. 14986BAUS01U  
Entitled: SYSTEM, DEVICE, AND METHOD FOR MANAGING SERVICE  
LEVEL AGREEMENTS IN AN OPTICAL COMMUNICATION SYSTEM  
Applicant: Indermohan S. Monga et al.

Dear Sir:

Enclosed for submission is an Information Disclosure Statement and Form PTO-1449, including three (3) references, pursuant to 37 C.F.R. § 1.56.

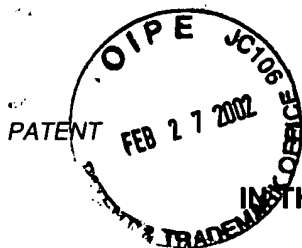
Kindly acknowledge receipt of the foregoing by returning the enclosed self-addressed postcard.

Sincerely,

Lindsay G. McGuinness  
Reg. No. 38,549

LGM:cmm

Enclosures: > Information Disclosure Statement  
> PTO-1449  
> Three (3) References  
> Postcard



ATTORNEY DOCKET NO. 14986BAUS01U

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re: Indermohan S. Monga et al.

Application No.: 09/930,375

Filed: August 15, 2001

For: SYSTEM, DEVICE, AND METHOD FOR MANAGING SERVICE LEVEL AGREEMENTS  
IN AN OPTICAL COMMUNICATION SYSTEM

Group Art Unit: 2633

Examiner: Unassigned

Assistant Commissioner for Patents  
Washington, D.C. 20231

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT  
WITHIN THREE MONTHS OF FILING OR  
BEFORE MAILING OF FIRST OFFICE ACTION (37 C.F.R. 1.97(b))**

In compliance with the duty of disclosure under 37 C.F.R. §1.56, and in accordance with the practice under 37 C.F.R. §1.97 and §1.98, the Examiner's attention is directed to the documents listed on the enclosed Form PTO-1449. Copies of the listed information are also enclosed.

The documents listed in this Information Disclosure Statement were first cited in a PCT International Search Report in a counterpart application and this Information Disclosure Statement is being filed within three months of the mailing date of that Report.

As this Information Disclosure Statement is being submitted prior to a First Office Action, there is no fee due. However, the Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account 50-1940.

It is respectfully requested that the above information be considered by the Examiner and that a copy of the enclosed Form PTO-1449 be returned indicating that such information has been considered.

Respectfully submitted,

Lindsay G. McGuinness  
Registration No. 38,549  
Attorney for Applicants

Customer No. 28901

Telephone: 978/288-6304

Facsimile: 978/288-6543

CERTIFICATE OF MAILING

Dated: 2/14/2002

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, DC 20231.

Name: Christine Morrisette

Date of Signature: 2/14/2002

PTO/SB/08A (10-01)  
Approved for use through 10/31/2002. OMB 0651-0031  
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE  
red to respond to a collection of information unless it contains a valid OMB

Substitution for form 1449A/PTO <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(use as many sheets as necessary)</i>				<b>Complete if Known</b>	
				<b>Application Number</b>	09/930,375
				<b>Filing Date</b>	August 15, 2001
				<b>First Named Inventor</b>	MONGA, Indermohan S.
				<b>Art Unit</b>	2633
				<b>Examiner Name</b>	Unassigned
				<b>Attorney Docket Number</b>	14986BAUS01U
Sheet	1	of	1		

[illegible][illegible]

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

**Burden Hour Statement:** This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:** Assistant Commissioner for Patents, Washington, DC 20231.